

STATE OF GEORGIA
RECORDS SERIES PROFILE
RECORDS RETENTION SCHEDULE
APPLICATION # 920218-02

Sheet 1 of 1

SCHEDULE #: 00-0027-A

EFFECTIVE DATE: 12/30/92

Supersedes Schedule #: 27-A

Effective Date: 6/30/75

Agency Code: 0408
Agency: Commissioner of Insurance
Creating Office: Industrial Loan Division

Series
Title/Dates: "Loan Company Examination File," 1988 and continuing

Access: Open

Class: Individual

Related to: The examination of loan companies to determine compliance with the Georgia Industrial Loan Act (O.C.G.A. 7-3-22). Included in the file are Managers Qualification Affidavit (form IL-15), Examiner's Report (IL-11), and Examination of Georgia Industrial Loan License (no form number).


Arrangement: Alphabetical by city name, thereunder by company name.


Retention
Requirement: Administrative Need: Four (4) years.

Media: Paper

Disposition
Instructions: Cut off at end of calendar year;
Hold in current files area two (2) years;
Transfer to State Records Center;
Hold two (2) years; then
Destroy.

This records retention plan gives the State Records Committee approved retention instructions for the named records series by the named creating office.


Edward Weldon
Secretary of State Designee


Date

N O T E T O F I L E

DATE: 8/12/91

BY: PETE E. SCHINKEL AND C.D. SAXON

RE: SCHEDULE # 75-159

This schedule sets disposition for "Loan Company Annual Statements File", 1955 and continuing, approved 6/30/75 , and amends the following existing schedules.

- 27-A "Loan Company Examination File", 1925 and continuing.
- 28-A "Loan Company Tax Report Files", 1970 and continuing.
- 37-A "Loan Company License Renewal File", 1975 and continuing.
- 100-A "Original Application for License File, 1975 and continuing.
[Schedule 100, effective date 4/7/72 was titled "Loan Company Closed Files" 1955-1969.]

AMENDED SCHEDULES AS PUBLISHED IN 82-RM-1 ARE ATTACHED

75-159 is simply a control # for the Amendment to the above four schedules. The NUMBER "75-159" does not replace the schedule numbers 27-A, 28-A, 37-A or 100-A,



STATE
OF
GEORGIA

Application for
RECORDS DISPOSITION STANDARD

OFFICE OF SECRETARY OF STATE
DEPARTMENT OF ARCHIVES & HISTORY
RECORDS MANAGEMENT DIVISION

PAGE
1

Amended by 75-157

3107

1. Application Date 9-3-71		INSTRUCTIONS: See separate instructions for completion of front and reverse of this form. Sign original and two copies and forward to Department of Archives and History, Attention: Records Management Officer.		FOR RECORDS MANAGEMENT DIVISION USE Date Received OCT 15 1971		Application No. 27		Date Completed NOV 10 1971	
2. Agency Application No. 5				3. AGENCY, Division, Subdivision & Administering Office Address Office of Comptroller General Ga. Industrial Loan Commission 125 State Capitol Atlanta, Ga.					
				4. Person to Contact James E., Young					
				5. Working Title Deputy Commissioner				6. Tel. No. 3080	
7. ACTION REQUESTED <input checked="" type="checkbox"/> ESTABLISH DISPOSITION STANDARD; RECORD WILL CONTINUE TO ACCUMULATE. <input type="checkbox"/> DISPOSE OF PRESENT ACCUMULATION; NO FURTHER ACCUMULATION ANTICIPATED.									
8. Inclusive Dates 1966 to Present				9. EXACT SERIES TITLE Loan Company Examination Files					
10. What function performed resulted in creation of this series To coordinate investigations of all applicants for Industrial Loan licenses to make the determination that the financial stability, convenience and advantage, and the needs of the consumer will be met before license is issued. Process and issue renewals of the approximately 1100 licensees yearly. To levy and collect annual licenses fees, investigative fees, and monthly Loan Tax on all loans made pursuant to the Act. Receive and investigate complaints relating to the companies licensed by the Department to the degree that the consumer is totally protected. Carry on a program of education to acquaint licensee with provisions of the Act. To provide day-to-day administration of the Law, Rules and Regulations as they apply to the Industrial Loan industry in Georgia.									
11. DESCRIPTION OF SERIES - Include Form No. & Form Title, if any This series consists of "Managers Qualification Affidavit" (Form IL-15); "Examiners Report" (Form IL-10) describing dual and renewal loans; "Examiners Report" (Form IL-11) describing the refunds made and the late fees collected. Each examination has an examination cover sheet, "Examination of Georgia Industrial Loan Licensee" (No Form number) providing pertinent information to the examination.									
12. EQUIPMENT OCCUPIED									
Letter-size File Drawers		No. of Drawers	Cu. Ft. of Records	ANNUAL RATE OF ACCUMULATION		No. of Drawers		Cu. Ft. of Records	
Legal-size File Drawers		20	40	Floor Space Occupied (Square Feet)		In Office(s)		In Storage Area(s)	
				By Annual Accumulation		This Year's	Last Year's	Preceding Year's	All Prior Years
				AVERAGE DAILY REFERENCES		10	3		2

QUESTIONNAIRE Place an "x" in the proper column. If answer is "YES," please explain

YES NO

13. Is this the Record Copy of the series? ☒ YES ☐ NO
14. Is there a duplication of this series in another office or agency? ☐ YES ☒ NO
15. Is the information contained in this series ever summarized or published? ☐ YES ☒ NO
16. Does the series contain classified information requiring security handling? ☐ YES ☒ NO
17. Does the series document policies and procedures of agency's operation or function? ☐ YES ☒ NO
18. Could the function be performed if the files were lost or destroyed? ☒ YES ☐ NO
19. Is the series (or major portion of it) regularly microfilmed? If yes, why? ☐ YES ☒ NO
20. Does the record series provide data as input to an EDP file? ☐ YES ☒ NO
21. Does the record series contain documentation produced as EDP printout? ☐ YES ☒ NO
22. Is the series affected by Federal or grant funds? ☐ YES ☒ NO
23. Will there be a need for these records 10, 15 years from now? If yes, what? ☐ YES ☒ NO

24. REQUIREMENTS. The following requires the files to be kept 5 years:
- a. ☐ STATE LAW b. ☐ STATUTE OF LIMITATION c. ☐ AUDIT PERIOD d. ☐ FEDERAL LAW e. ☒ ADMINISTRATIVE DECISION f. ☐ HISTORICAL VALUE
- (Cite Law, Statute, or other reason for the retention requirement)

25. AGENCY RECOMMENDATIONS. This agency recommends that the file series be cut off at the end of each ☒ CALENDAR YEAR ☐ FISCAL YEAR ☐ OTHER, then:

A. ☐ Destroy immediately after cut off.

B. ☐ Hold in current files area 3 month(s) / 3 year(s), then:

1 ☐ Destroy.

2 ☒ Transfer to records center; hold 2 year(s), then:

a. ☒ Destroy.

b. ☐ Transfer historical material to Archives; destroy remainder.

3 ☐ Destroy after audit (or year(s) after audit).

C. ☐ Hold in current files area indefinitely.

D. ☐ Hold in current files area year(s), then transfer to Archives permanently.

E. ☐ Other

(Indicate briefly rationale for recommendations above/or write additional remarks):

(ATTACH SAMPLES OF THE SERIES WHEN POSSIBLE)

26. Inventory taken by

Recommendations
in Paragraph 25
are:

Recommendations prepared by

Approved for Division Date

Records Management Officer Date

☐ Approved ☐ Disapproved

☒ Approved ☐ Disapproved

☒ Approved ☐ Disapproved

☒ Approved ☐ Disapproved

Head of Agency

Director, Archives & History

Secretary of State

Governor of Georgia

Johnnie S. Calhoun 10-71
Gerald Hart 10-22-71
Devin. J. J. 11-8-71
Jimmy Carter 11-9-71

STATE OF GEORGIA
RECORDS SERIES PROFILE
RECORDS RETENTION SCHEDULE
APPLICATION # 920218-02

Sheet 1 of 1

RGS Recd
APR 23 1992
RCS

SCHEDULE #: 27-A

EFFECTIVE DATE:

Supersedes Schedule #: 27-A
Effective Date: 6/30/75

Agency Code: 0408
Agency: Commissioner of Insurance
Creating
Office: Industrial Loan Division

Series
Title/Dates: "Loan Company Examination File," 1992⁸⁸ and continuing
Access: Open
Class: Individual

Related To: The examination of loan companies to determine compliance with the Georgia Industrial Loan Act (OCGA 7-3-22). Included in the file are Managers Qualification Affidavit (form IL-15), Examiner's Report (IL-11), and Examination of Georgia Industrial Loan License (no form number).

Arrangement: Alphabetical by city name, thereunder by company name

Retention
Requirement: Administrative Need: Four (4) years

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Disposition
Instructions: Cut off at end of calendar year;
Hold in current files area two (2) years;
Transfer to State Records Center;
Hold two (2) years; then
Destroy.

The above records retention schedule is consistent with the requirements of the Georgia Records Act (OCGA 50-19-90 et seq.). The Agency recommends this retention schedule to the State Records Committee.

Signed: [Signature]
Agency Head, or Designee

4-21-92
Date

Submitted by: [Signature]
Agency Records Management Officer

4-21-92
Date

Year changed
per phone
conversation
with RMO, Jeffrey
Smith 4/23/92
RCS



Secretary of State

Department of Archives and History

330 Capitol Avenue, S.E.

Atlanta, Georgia 30334

Max Cleland

SECRETARY OF STATE
(404) 656-2881

Edward Weldon

DIRECTOR
(404) 656-2358
INFORMATION (404) 656-2393
FAX (404) 651-9270

MEMORANDUM

TO: Jeffery Smith, Records Management Officer, Insurance Dept.

FROM: Peter E. Schinkel, Schedule Section

DATE: January 7, 1993

SUBJECT: State Records Committee approval of application to amend the records retention schedule for:

"Loan Company Examination File," 1988 and continuing.
Schedule #00-0027-A, effective 12/30/92

Enclosed is a copy of the application submitted and a copy of the records schedule "profile." The signature of the Secretary of State designee on the profile certifies the Committee's approval of the disposition instructions for the described records series for the series dates cited.

The profile is a standardized, data abstract of the information your agency provided in the schedule application plus data from the Committee support staff's research. Please review the data in the profile. If any of the data is incorrect, incomplete or unclear, contact the Schedule Section (656-2373).

The schedule number assigned is the control number for the State Records Committee's official approved schedule case file. The case file contains the original application, staff research notes, correspondence, and other information related to the application or the record series the approved schedule covers.

Please reference the schedule number and the effective date in any communications with the Archives or the Committee about the schedule or the series it covers.

Note: Please call the State Records Center Manager (756-4866 or 756-4867) before preparing the records for transfer.

Please call us at 656-2373 if you have questions.

enclosures

cc: State Records Center Manager
Descriptive Services Division
ARMIS Manager



OFFICE OF COMMISSIONER OF INSURANCE

TIM RYLES
COMMISSIONER OF INSURANCE
SAFETY FIRE COMMISSIONER
INDUSTRIAL LOAN COMMISSIONER
COMPTROLLER GENERAL

SEVENTH FLOOR, WEST TOWER
FLOYD BUILDING
2 MARTIN LUTHER KING, JR. DRIVE
ATLANTA, GEORGIA 30334

February 17, 1992

MEMORANDUM

TO: Pete E. Schinkel

FROM: Jeffery J. Smith
Records Management Officer

RE: Minor Change to Retention Schedule 27-A,
Loan Company Examination File

The Office of Commissioner of Insurance, Industrial Loan Division's current Retention Schedule 27-A, for storing the Loan Company Examination file reads as follows:

Cut off file at end of each calendar year;
then transfer to State Records Center; hold
2 years.

We are requesting a change to:

Cut off file at end of each calendar year;
hold in current file area 2 years, then transfer
to State Records Center; hold 2 years, then destroy.

This will mean holding our current calendar year filings an additional year, until January 1993.

Please advise if this request to amend Retention Schedule 27-A meets with your approval.

Appl
No

Description

Disposition

LOAN COMPANY CASE FILES - Documents relating to maintaining case records of Industrial Loan Companies.

Included are:

Original Application for License File - Documents relating to licensing to conduct business in Georgia. Included only is company's first "Application for License" (Form IL-1, IL-2, IL-3 or IL-4). File is arranged alphabetically by city; thereunder alphabetically by name of company; thereunder numerically by company license number when a company has more than one office in a city.

Maintain in current files area until company is no longer doing business in Georgia; then

Upon termination of a company's permission to conduct business in the State, remove entire Loan Company Case File from active file and place in Closed Loan Company Case Files; Cut off Closed Loan Company Case File at end of each calendar year; then transfer to State Records Center; hold 10 years; then destroy

Loan Company License File - Documents relating to renewing licenses of companies to conduct business in Georgia. Included are copies of "State of Georgia License" (Form IL-4), Annual License Renewal Application (Form IL-6), and related correspondence. (Corporate Charter may also be included) File is arranged alphabetically by city; thereunder alphabetically by name of company; thereunder numerically by company license number when a company has more than one office in a city.

Cut off file at end of each calendar year; hold in current files area 2 years; then transfer to State Records Center; hold 8 years; then destroy.

Loan Company Examination File - Documents relating to examining loan companies. Included are Manager's Qualification Affidavit (Form IL-15) Examiner's Report (Form IL-11); Examination of Georgia Industrial Loan Licensee (no form no.). File is arranged alphabetically by city; thereunder alphabetically by name of company; thereunder numerically by company license number when a company has more than one office in a city.

Cut off file at end of each calendar year; then transfer to State Records Center; hold 2 years; then destroy.

Schedule # 27-A

*Approved: 11/10/71
Amended: 06/30/75*